

Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Application Number	10/595,603
		Filing Date	October 28, 2004
		First Named Inventor	William Suttle Peters
		Art Unit	3766
		Examiner Name	
(Use as many sheets as necessary)		Attorney Docket Number	84662 - 389076
Sheet	1	of	7

U.S. PATENT DOCUMENTS					
Examiner Initials *	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		0,283,660	8/21/1883	Reed, C.C.	
		0,929,571	7/27/1909	Dubied, E.	
		1,576,397	7/18/1925	Yanagi	
		1,719,316	7/2/1929	Appleton, J.H.	
		3,467,077	9/16/1969	Cohen, Leah	
		3,552,383	1/5/1971	Krueger, Dean T.E. et al.	
		3,597,766	8/10/1971	Buck, Keith E.	
		4,014,318	3/29/1997	Dockum et al.	
		4,051,840	10/4/1977	Kantrowitz et al.	
		4,176,411	12/4/1979	Runge	
		4,195,623	4/1/1980	Zeff et al.	
		4,236,482	12/2/1980	Gingerich, David L. et al.	
		4,256,094	3/17/1981	Kapp, John P.	
		4,277,706	7/7/1981	Issacson	
		4,304,225	12/8/1981	Freeman	
		4,454,891	6/19/1984	Dreibelbis et al.	
		4,457,673	7/3/1984	Conley, Michael G. et al.	
		4,459,977	7/17/1984	Pizon, Veronique et al.	
		4,515,587	5/7/1985	Schiff, Peter	
		4,583,523	4/22/1986	Kleinke et al.	
		4,594,731	6/10/1986	Lewkowicz, Shlomo	
		4,630,597	12/23/1986	Kantrowitz et al.	
		4,676,482	6/30/1987	Reece, Marvin P. et al.	
		4,697,574	10/6/1987	Karcher et al.	
		4,763,646	8/16/1988	Lekholm	
		4,771,765	09/20/98	Choy et al.	
		4,809,676	3/7/1989	Freeman	
		4,813,952	3/21/1989	Kha1afalla	
		4,822,357	4/18/1989	Forster, David A. et al.	
		4,881,939	11/21/1989	Newman	
		4,957,477	9/18/1990	Lundback	
		4,979,936	12/25/1990	Stephenson et al.	
		5,197,980	3/30/1993	Gorahkov, Jury V. et al.	
		5,205,810	4/27/1993	Guiraudon et al.	
		5,222,980	6/29/1993	Gealow	
		5,267,940	12/7/1993	Moulder	
		5,273,518	12/28/1993	Lee-	
		5,300,111	4/5/1994	Panton, Ronald L. et al.	

Examiner Signature	/Gary Porter, Jr/	Date Considered	08/27/2010
-----------------------	-------------------	--------------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kind Codes of USPTO Patent Documents at 35 USC 400 and 401 or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Application Number	10/595,603
		Filing Date	October 28, 2004
		First Named Inventor	William Suttle Peters
		Art Unit	3766
		Examiner Name	
(Use as many sheets as necessary)		Attorney Docket Number	84662 - 389076
Sheet	2	of	7

U.S. PATENT DOCUMENTS					
Examiner Initials *	Cite No.	Document Number Number - Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		5,337,752	8/16/1994	Reeves, William	
		5,344,385	9/6/1994	Buck, Keith E. et al.	
		5,360,445	11/1/1994	Goldowsky, Michael	
		5,372,573	12/13/1994	Habib	
		5,429,584	7/4/1995	Chiu	
		5,447,523	9/5/1995	Schaldach	
		5,453,076	9/26/1995	Kiyota, Yoshiharu et al.	
		5,511,551	4/30/1996	Sano, Yoshihiko et al.	
		5,554,177	9/10/1996	Kieval, Robert S. et al.	
		5,569,156	10/29/1996	Mussivand	
		5,593,414	1/14/1997	Shipp et al.	
		5,607,378	3/4/1997	Winston, Edith	
		5,647,380	7/15/1997	Campbell et al.	
		5,722,930	3/3/1998	Larson, Jr., Carl O. et al.	
		5,792,195	8/11/1998	Carlson et al.	
		5,820,542	10/13/1998	Dobak III, John D. et al.	
		5,827,171	10/27/1998	Dobak III, John D. et al.	
		5,843,170	12/1/1998	Ahn	
		5,975,140	11/2/1999	Lin, Ching-Yi	
		5,980,488	11/9/1999	Heilman et al.	
		6,030,336	2/9/2000	Franchi	
		6,045,496	4/4/2000	Pacella et al.	
		6,066,085	5/23/2000	Heilman et al.	
		6,210,318	4/3/2001	Lederman, David M.	
		6,226,843	5/8/2001	Crainich	
		6,251,061	6/26/2001	Hastings, Roger N. et al.	
		6,432,039	8/13/2002	Wardle, John L.	
		6,471,633	10/29/2002	Freed	
		6,553,263	4/22/2003	Meadows, Paul M. et al.	
		6,572,534	6/3/2003	Milbocker, Michael T. et al.	
		6,585,635	7/1/2003	Aldrich, William N.	
		6,616,596	9/9/2003	Milbocker	
		6,626,821	9/30/2003	Kung et al.	
		6,643,548	11/4/2003	Mai et al.	
		6,808,483	10/26/2004	Ortiz et al.	
		6,808,484	10/26/2004	Peters et al.	

Examiner Signature	/Gary Porter, Jr/	Date Considered	08/27/2010
--------------------	-------------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinda Codes of USPTO Patent Documents at 35 USC 400(a)(2) or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.
fb.us.5546998.01

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /G.P./

Substitute for form 1449A/PTO		Complete if Known			
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Application Number	10/595,603		
		Filing Date	October 28, 2004		
		First Named Inventor	William Suttle Peters		
		Art Unit	3766		
		Examiner Name			
Sheet	3	of	7	Attorney Docket Number	84662 - 389076

U.S. PATENT DOCUMENTS					
Examiner Initials *	Cite No.	Document Number Number - Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		6,984,201	1/10/2006	Khaghani, Asghar et al.	
		7,169,109	1/30/2007	Jansen, Jozef R.C. et al.	
		7,360,558	12/11/2007	Peters, William S. et al.	
		7,347,811	3/25/2008	Peters, William S. et al.	
		7,357,771	4/15/2008	Peters, William S. et al.	
		7,513,864	4/7/2009	Kantrowitz, Allen B. et al.	
		7,740,575	6/22/2010	Peters, William S. et al.	
		7,765,003	8/3/2010	Miller, Gary L. et al.	

U.S. PUBLICATIONS					
Examiner Initials *	Cite No.	Document Number Number - Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		2003/0105497	6/5/2003	Zhu et al.	
		2004/0073080	4/15/2004	Peters, William S. et al.	
		2004/0097783	5/20/2004	Peters, William S. et al.	
		2004/0097784	5/20/2004	Peters, William S. et al.	
		2004/0147803	7/29/2004	Hedge, Anant V. et al.	
		2006/0052866	3/9/2006	Gilles, Ronald M. et al.	
		2007/0093684	4/26/2007	Peters, William S. et al.	
		2007/0129796	6/7/2007	Miller, Scott H.	
		2007/0135677	6/14/2007	Miller, Scott H. et al.	
		2007/0167898	7/19/2007	Peters, William S. et al.	
		2008/0139873	6/12/2008	Peters, William S. et al.	
		2008/0167515	7/10/2008	Peters, William S. et al.	
		2008/0027270	1/31/2008	Peters, William S. et al.	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)	MM-DD-YYYY			
		AU 2003277983	6/26/2008	Peters, William S. et al.		
		EP 0080348 B2	5/4/1988	Medtronic, Inc.		
		EP 0216042	3/6/1991	Khalafalia, Aida S.		
		EP 0363203	4/11/1990	Milder, Fredric L. et al.		
		EP 0601804	6/15/1994	Davidson, James A. et al.		
		EP 1129736	9/5/2001	Lavram Medical Devices		

Examiner Signature	/Gary Porter, Jr/	Date Considered	08/27/2010
--------------------	-------------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.
fb.us.5546998.01

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /G.P./

Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Application Number	10/595,603
		Filing Date	October 28, 2004
		First Named Inventor	William Suttle Peters
		Art Unit	3766
		Examiner Name	
(Use as many sheets as necessary)			
Sheet	4	of	7
		Attorney Docket Number	84662 - 389076

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ² - Number ³ - Kind Code ⁴ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁵
		FR 2458288	1/2/1981	BeJenger et al		X
		FR 2645739	10/19/1990	VM Tech SA		X
		FR 2767874	3/5/1999	Commissariat A L'Energie Atomique		X
		GB 2422114	4/16/2008	Peters, William S.		
		JP 10-328297	12/15/1998	Buayur:KK		X
		JP 2000-510006	8/8/2000			X
		JP 9-502376	3/11/1997	Pacella, John J. et al.		X
		JP 9-503933	4/22/1997	Mussivand, Tofy		X
		JP-H11-285529	10/19/1999	Heilman, Marlin S. et al.		X
		WO 1992/08500	5/29/1992	McGill University		
		WO 1993/08874	5/13/1993	Medtronic, Inc.		
		WO 1995/05122	2/23/1995	Mind-E.M.S.G. Ltd. et al.		
		WO 1995/28127	10/26/1995	Pacella, John J. et al.		
		WO 1997/40755	11/6/1997	Zukowski et al.		
		WO 1998/05289	2/12/1998	Fogarty et al.		
		WO 1998/14239	4/9/1998	Pacesetter AB		
		WO 1998/51367	11/19/1998	Freed, Paul S. et al.		
		WO 1999/04833	2/4/1999	Gruss, Jean-Antoine et al.		X
		WO 1999/45981	9/16/1999	L. VAD Technology		
		WO 2000/012168	3/9/2000	Samson, Wilfred J. et al.		
		WO 2000/076288	12/21/2000	Sunshine Heart Company Pty Ltd		
		WO 2001/13974	3/1/2001	Freed, Paul S.		
		WO 2002/024254	3/28/2002	Imperial College Innovations Ltd.		
		WO 2002/024255	3/28/2002	Sunshine Heart Company Pty Ltd		
		WO 2002/076305	10/3/2002	Lane, Rodney J.		
		WO 2003/011365	2/13/2003	Peters, William S. et al.		
		WO 2003/028787	4/10/2003	Peters, William S. et al.		
		WO 2004/045677	6/3/2004	Peters, William S. et al.		
		WO 2005/041783	5/12/2005	Sunshine Heart Company Pty Ltd.		

Examiner Signature	/Gary Porter, Jr/	Date Considered	08/27/2010
--------------------	-------------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.
fb.us.5546998.01

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /G.P./

Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Application Number	10/595,603
		Filing Date	October 28, 2004
		First Named Inventor	William Suttle Peters
		Art Unit	3766
		Examiner Name	
(Use as many sheets as necessary)		Attorney Docket Number	84662 - 389076
Sheet	5	of	7

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ² - Number ³ - Kind Code ⁴ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁵
		WO 2005/042063	5/12/2005	Sunshine Heart Company Pty Ltd		
		WO 2005/042063	5/12/2005	Peters, William S. et al.		
		WO 2005/044338	5/19/2005	Miller, Scott H.		
		WO 2005/110512	11/24/2005	PPA Technologies AG		
		WO 2008/053469	5/8/2008	Shalev Alon		
		WO 2008/071223	6/19/2008	Azzolina, Gaetano		

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T 2
		Seymour Furman et al., "Cardiac Support by Periaortic Diastolic Augmentation", New York Journal of Medicine, Aug. 1, 1970, pp. 1964-1969.	
		J.L. Stewart, "Aortic Cuff a Cardiac Assistance Device", Polytechnic Institute of Brooklyn, 1968, pp. 9-108.	
		Hiroshi Odaguchi et al., "Experimental Study of Extraaortic Balloon Counterpulsation as a Bridge to Other Mechanical Assists" ASAIO Journal, pp. 190-194, vol. 42, No. 3, Lippincott Williams & Wilkins/ASAIO, Hagerstown, MD, May 1, 1996. cited by other.	
		"Use of Heart Valve Sounds as Input to Cardiac Assist Devices", Research Disclosures, March 1995	
		Luisada et al., "On the Function of the Aortic Valve and the Mechanism of the First and Second Sounds, Japanese Heart Journal, Vol. 18(1), Jan 1977, pp. 81-91	
		International Search Report issued in PCT/AU00/00654, mailed 8/18/2000, 5 pages	
		International Search Report issued in PCT/AU2002/000974, mailed October 11, 2002, 5 pages	
		International Preliminary Examination Report issued in PCT/AU2002/000974, completed August 11, 2003, 8 pages	
		International Search Report issued in PCT/AU2001/01187, mailed November 5, 2001, 3 pages	
		International Preliminary Examination Report issued in PCT/AU2001/01187, completed May 2, 2002, 4 pages	

Examiner Signature	/Gary Porter, Jr/	Date Considered	08/27/2010
--------------------	-------------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinda Codes of USPTO Patent Documents at 3025.0000. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Application Number	10/595,603
		Filing Date	October 28, 2004
		First Named Inventor	William Suttle Peters
		Art Unit	3766
		Examiner Name	
(Use as many sheets as necessary)		Attorney Docket Number	84662 - 389076
Sheet	6	of	7

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T 2
		International Search Report and Written Opinion issued in PCT/AU2007/001188, mailed 10/4/2007, 12 pages	
		International Preliminary Report on patentability, Chapter II, issued in PCT/AU2007/001188, completed March 11, 2008, 8 pages	
		International Search Report issued in PCT/AU2003/001450, mailed February 2, 2004, 2 pages	
		International Preliminary Examination Report issued in PCT/AU2003/001450, completed March 2, 2005, 4 pages	
		International Search Report issued in PCT/AU2003/001458, mailed 2/5/2004, 5 pages	
		International Preliminary Examination Report issued in PCT/AU2003/001458, completed March 7, 2005, 7 pages	
		International Search Report and Written Opinion issued in PCT/AU2004/001483, mailed November 26, 2004, 5 pages	
		International Search Report and Written Opinion issued in PCT/AU2004/001484, mailed 11/29/2004, 5 pages	
		International Search Report and Written Opinion issued in PCT/AU2004/01485, mailed 2/7/2005, 6 pages	
		International Search Report and Written Opinion issued in PCT/AU2004/001486, mailed 1/6/2005, 7 pages	
		International Search Report and Written Opinion issued in PCT/AU2004/01487, mailed 1/27/2005, 12 pages	
		International Search Report and Written Opinion issued in PCT/AU2004/01488, mailed December 15, 2004, 6 pages	
		Supplemental European Search Report issued in EP Application 00934813, mailed 0/19/2006, 2 pages	
		Supplemental European Search Report issued in EP 01971489, completed November 22, 2006, 4 pages	
		Supplemental European Search Report issued in EP App No. 02748447, February 6, 2007, 6 pages	
		Supplemental European Search Report issued in EP App. No. 04789624, mailed March 6, 2008, 7 pages	
		Supplemental European Search Report issued in EP 04789625, mailed 11/18/2009, 6 pages	
		Office Action issued in JP Application No. 2004-552261, dated March 2, 2010	

Examiner Signature	/Gary Porter, Jr/	Date Considered	08/27/2010
--------------------	-------------------	-----------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. * Applicant's unique citation designation number (optional). * See Kinda Codes of USPTO Patent Documents at 35 USC 422(b)(2). * Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). * For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. * Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. * Applicant is to place a check mark here if English language Translation is attached.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.
fb.us.5546998.01

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /G.P./

Substitute for form 1449A/PTO		Complete if Known			
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Application Number	10/595,603		
		Filing Date	October 28, 2004		
		First Named Inventor	William Suttle Peters		
		Art Unit	3766		
		Examiner Name			
Sheet	7	of	7	Attorney Docket Number	84662 - 389076

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T 2

Examiner Signature	/Gary Porter, Jr/	Date Considered	08/27/2010
-----------------------	-------------------	--------------------	------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at 30000, 30000.001, or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.